

NATIONAL CORE INDICATORS AND DATA SOURCES ALIGNED WITH THREE HOME AND COMMUNITY BASED WAIVER ASSURANCES

The following chart has been prepared for a variety of audiences including staff of state developmental disabilities agencies, NCI state coordinators, waiver managers and other stakeholders. The purpose is to illustrate the ways in which data collected using a range of NCI surveys can be used as sources of information and evidence for 3 of the assurances included in the Quality Improvement (QIS) portions of Home and Community Based Waiver applications and evidence reports.

The chart is organized by assurance and the relevant sub-assurances. The 3 CMS waiver assurances and sub-assurances highlighted are:

- **Service Plan**

- ✓ SPs address all participants assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means
- ✓ The state monitors SP development in accordance with its policies and procedures.
- ✓ Service plans are update/revised at least annually or when warranted when there are changes in the participants need
- ✓ Services are delivered in accordance with the SP, including in the type, scope, amount, duration, and frequency specified in the SP
- ✓ Participants are afforded choice between waiver services and institutional care, and between/among waiver services and providers

- **Qualified Providers**

- ✓ The state verifies that providers, initially and continually, meet required licensing and/or certification standards and adhere to other standards prior to their furnishing waiver services
- ✓ The state monitors non-licensed/non-certified providers to assure adherence to waiver requirements
- ✓ The state implements its policies and procedures for verifying that provider training has been conducted in accordance with state requirements and the approved waiver

- **Health and Welfare**

- ✓ The state, on an on-going basis, identifies, addresses and seeks to prevent instances of abuse, neglect and exploitation

The chart also includes possible performance indicators and NCI data sources that generate information related to the performance indicator. The specific survey questions from which data are derived are also included. Some of the questions are new and have very recently been added to the NCI consumer and family surveys as described.

The intent is not to suggest that a state should adopt *all* of indicators and NCI data sources listed but rather provides a range of possible applications to which NCI data can be put as part of reporting to CMS. Further, it is not to suggest that NCI data should necessarily be the only source of evidence for a particular sub-assurance but that such data can be an excellent (and consumer and family-based) source of supplemental substantiation.

If data from NCI, such as the data gleaned from the consumer survey regarding health status (e.g., physician visits, health screenings, etc.), is the only source of data for a performance measure, then state staff should ensure that the sample from which the surveys are drawn is valid and reliable for that particular waiver.

If there any questions regarding the crosswalk, please contact cmoseley@nasddds.org or vbradley@hsri.org.

SERVICE PLAN¹

Assurance Component	Performance Indicator	Survey Questions	Data Source
SPs address all participants assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means	Proportion of individuals and families who report that they get the services that they need	Do you get the services that you need? If not, what services do you need?	Consumer Survey
		Does your child/family member get the services and supports that s/he needs?	Family/Guardian Survey; New Child/Family and Adult/Family Surveys
		Does your family get the services and supports that you need?	Child/Family and Adult/Family Surveys
		Does your child/family member have access to the special equipment or accommodations that s/he needs (e.g., wheelchair, ramp, communication board?)	Child/Family, Adult/Family, and Family/Guardian Surveys
		Do you have access to medications for your child/family member?	Child/Family and Adult/Family Surveys
	Proportion of individuals and families who report that their service coordinator/case manager is accessible, responsive, and supports their participation in service planning	Have you met you service coordinator?	Consumer Survey
		If you ask for something, does your service coordinator help you get what you need?	Consumer Survey
		Does your service coordinator ask you what is important to you?	New Consumer Survey
		Did <i>your service coordinator/case manager</i> tell you about public	Revised Child/Family and New Adult/Family Surveys

¹ New Sub-domain will be added under NCI Domain: System Performance

		services that you were eligible for (e.g., EPSDT, food stamps, housing subsidies, etc.)?	
The state monitors SP development in accordance with its policies and procedures.	Proportion of people who report that they were involved in the development of their Service Plan	<p>Do you have a service plan? If yes, did you help make/develop your service plan?</p> <p>If your family/family member has a service plan, did s/he help develop the plan?</p> <p>If your family/family member has a service plan, did you help develop the plan?</p>	<p>New Consumer Survey</p> <p>New Child/Family, Adult Family and Family Guardian Surveys</p> <p>Child Family and Adult Family Surveys</p>
Service plans are update/revised at least annually or when warranted when there are changes in the participants needs	Proportion of individuals and families who report that their services and supports change as their needs change	<p>Do the services and supports change when your child/family member's needs change?</p> <p>Are supports available when your family needs them?</p> <p>If you asked for crisis services <i>during the past year</i>, were services provided?</p>	<p>New Child/Family, Adult Family, and Family Guardian</p> <p>Child/Family, Adult/Family Surveys</p> <p>Revised Child Family and Adult/Family Surveys</p>
Services are delivered in accordance with the SP, including in the type, scope, amount, duration, and frequency specified in the SP	Proportion of families who report that their family member receives the services and supports outlined in their service plan	Does your family member receive all of the services listed in the service plan?	New Child/Family, Adult/Family and Family Guardian Surveys
Participants are afforded choice between waiver services and institutional care, and between/among waiver services and providers	Proportion of individuals and families who report that they had a choice of services and providers	<p>Did you choose where you live?</p> <p>Did you choose where you work?</p> <p>Did you choose your case</p>	<p>Consumer Survey</p> <p>Consumer Survey</p> <p>Consumer Survey</p>

		<p>manager?</p> <p>Did your family choose their case manager?</p> <p>Did you or your family member choose your case manager?</p> <p>Did your family member choose his/her case manager?</p> <p>Do you and your family member choose the agencies and providers who work with you?</p> <p>Did your family member choose the providers that support him or her?</p>	<p>New Child Family Survey</p> <p>New Adult/Family Survey</p> <p>New Family/Guardian Survey</p> <p>Child/Family and Adult Family Surveys</p> <p>New Family/Guardian Survey</p>
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PROVIDER QUALIFICATIONS²

Assurance Component	Performance Indicators	Survey Questions	Data Source
The state verifies that providers, initially and continually, meet required licensing and/or certification standards and adhere to other standards prior to their furnishing waiver services	Proportion of families who report that they are familiar with the process for filing a grievance and/or complaint regarding a provider	Are you familiar with the process for filing a complaint or grievance regarding problems with <i>your provider(s)</i> or staff that provide services? Are you satisfied with the way complaints or grievances <i>regarding providers</i> are handled and resolved?	Revised Child/Family, Adult/Family, Family Guardian Surveys Revised Child/Family, Adult/Family, Family Guardian Surveys
The state monitors non-licensed/non-certified providers to assure adherence to waiver requirements		NA	
The state implements its policies and procedures for verifying that provider training has been conducted in accordance with state requirements and the approved waiver	Proportion of people indicating that most staff treat them with respect Proportion of families who report that staff treat them with respect Proportion of individuals and families that report that staff has the adequate training to meet their/their family member's needs Proportion of individuals and families that report that staff turnover is a problem Turnover rates,	Are the staff who help you (at home, work, and day program) nice and polite to you? Are support staff generally respectful and courteous? Do staff have the right training to meet your/your family member's needs? Are frequent changes in support staff a problem <i>for you/your family member?</i>	Consumer Survey Child/Family and Adult/Family Surveys New Consumer, Child/Family, Adult/Family, Family/Guardian surveys Revised Adult/Family and Adult Guardian Surveys; New Child/Family Survey Provider Survey on

² New Sub-domain will be added under NCI Domain: Staff Stability and Competence

	average length of service, and vacancy rates for direct contact staff.	Data collected on number of staff separated, average length of employment of current and separated staff, and number of vacancies for direct contact staff positions.	Staff Stability
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HEALTH AND WELFARE³ ()

Assurance Component	Performance Indicators	Survey Questions	Data Source
The state, on an on-going basis, identifies, addresses and seeks to prevent instances of abuse, neglect and exploitation	Proportion of people who report that they feel safe in their home, neighborhood, workplace, and day program/other daily activity	Do you feel safe in your home?	Consumer Survey
		Do you feel safe in your neighborhood?	Consumer Survey
		Do you feel safe at work or at your day program/ other daily activity?	Consumer Survey
	Proportion of people who report having someone to go to for help when they feel afraid	If you feel afraid, is there someone you can go to for help?	Consumer Survey
	Proportion of families who indicate that services/supports provided outside of the home (e.g., day/employment, residential services) are done so in a safe and healthy manner and environment	Do you feel that your family member's residential setting is a healthy and safe environment?	Family/Guardian Survey
		Do you feel that your family member's day/employment setting is a healthy and safe environment?	Adult/Family and Family/Guardian Surveys
	The proportion of people described as having poor health.	Overall, how would you describe this person's health?	Consumer Survey
	The proportion of people reported as having a primary care doctor.	Does the person have a primary care doctor?	Consumer Survey
	The proportion of people who have had a complete annual physical	When was his/her last complete annual physical exam?	Consumer Survey

³ Corresponds to NCI Domain: Health, Welfare, and Rights

		<p>Do you have access to dental services for your child/family member?</p> <p>Do you have access to health services for your child/family member?</p> <p>Rate of deaths per 1,000 adult consumers, by age and by major causes of death</p> <p>Rate of substantiated allegations of abuse, neglect, and exploitation per 1,000 adult consumers</p> <p>Rate of serious injuries per 1,000 adult consumers</p>	<p>Child/Family and Adult/Family Surveys</p> <p>Child/Family and Adult/Family Surveys</p> <p>System data – revised protocol to include reporting by major causes of death</p> <p>System data</p> <p>System data</p>
	<p>The mortality rate of adult consumers, by age and by major causes of death</p> <p>The rate of substantiated allegations of abuse, neglect, and exploitation among adult consumers</p> <p>The rate of serious injuries reported among adult consumers during the course of service provision</p>		